

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Eric J. Horvitz**
Serial No.: **10/611,491**
Filed: **June 30, 2003**
For: **BOUNDED-DEFERRAL POLICIES FOR GUIDING THE TIMING OF ALERTING, INTERACTION
AND COMMUNICATIONS USING LOCAL SENSORY INFORMATION**
Art Unit: **Unknown**
Examiner: **Unknown**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 10/220,419	PCT/US01/08711	10/220,550	PCT/US01/08710	09/881,502
Filing Date: 8-30-02	3-16-01	8-30-02	3-16-01	June 14, 2001

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a) Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.

(b) Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

(a) Within 3 months of the filing date or date of entry into the National Stage.

(b) Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.

(c) After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) The required certification is given below, or

(2) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

(a) The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,
AMIN & TUROCY, LLP

By 
Jeffrey R. Sadlowski

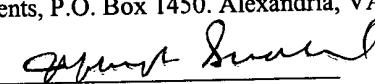
Reg. No. 47,914

AMIN & TUROCY, LLP
24TH Floor, National City Center
1900 E. 9th Street
Cleveland, Ohio 44114

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: October 7, 2003


Jeffrey R. Sadlowski



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	10/611,491
				Filing Date	June 30, 2003
				First Named Inventor	Eric J. Horvitz
				Art Unit	Unknown
				Examiner Name	Unknown
Sheet	1	of	5	Attorney Docket Number	MS303531.2 / MSFTP453USA

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)			
		EP0420779A3	04-03-91	Cherry A. Dawson, et al.	
		EP0867823A2	09-30-98	Jeyachandran, et al.	
		EP0905633A3	07-19-00	Haneda, et al.	
		EP0905633A2	3-31-99	Haneda, et al.	
		GB2328110A	2-10-99	Pinard	
		WO96/35994	11-14-96	Finney, et al.	
		WO98/37680	8-27-98	Franz, et al.	
		WO98/47268	10-22-98	Newton, et al.	
		WO98/58321	12-23-98	Udell, et al.	
		WO99/06915	2-11-99	Narasimhan, et al	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



OCT 10 2003

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
This form is approved by the Office of Management and Budget under OMB Control No. 1210-0087. It contains a valid OMB

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 5

<p>Substitute for form 1449A/PTO</p> <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p>(use as many sheets as necessary)</p>				Compl te if Known	
				Application Number	10/611,491
				Filing Date	June 30, 2003
				First Named Inventor	Eric J. Horvitz
				Art Unit	Unknown
				Examiner Name	Unknown
				Attorney Docket Number	MS303531.2 / MSFTP453USA
Sheet	2	of	5		

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

conformance and not considered. Include copy of this form with next communication. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

English language Translation is attached.
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08B (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449B/PTO				Compl t if Known	
INFORMATION DISCLOSURE				Application Number	10/611,491
STATEMENT BY APPLICANT				Filing Date	June 30, 2003
(use as many sheets as necessary)				First Named Inventor	Eric J. Horvitz
Sheet	3	of	5	Group Art Unit	Unknown
				Examiner Name	Unknown
				Attorney Docket Number	MS303531.2 / MSFTP453USA

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

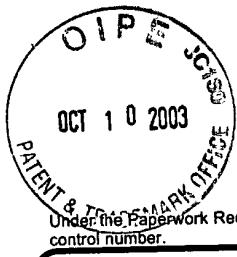
Examiner Initials'	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher city and/or country where published	T ²
		COSTAS TSATSOULIS, QING CHENG and HSIN-YEN WEI, "Integrating Case-Based Reasoning and Decision Theory", 1997, 10 pages	
		FRANCIS CHU and JOSEPH HALPERN, "A Decision-Theoretic Approach to Reliable Message Delivery", 15 pages	
		PETER HADDAWY, "An Overview of Some Recent Developments in Bayesian Problem-Solving Techniques Introduction to This Special Issue", 1999, 9 pages	
		FINN V. JENSEN, "Bayesian networks basics", Winter 1995/ Spring 1996, 14 pages	
		YU LO CYRUS CHANG, LESLIE C. LANDER, HORNG-SHING LU and MARTIN T. WELLS, "Bayesian Analysis for Fault Location in Homogeneous Distributed Systems", 1993, 10 pages	
		SANGUK NOH and PIOTR J. GMYTRASIEWICZ, "Rational Communicative Behavior in Anti-Air Defense", 1998, 8 pages	
		ALEC CAMERON and HSIANG-LUNG WU, "Identifying and Localizing Electrical Components: A Case Study of Adaptive Goal-directed Sensing", 1997, 6 pages	
		NITIN SAWHNEY and CHRIS SCHMANDT, "Speaking and Listening on the Run: Design for Wearable Audio Computing", 1998, 8 pages	
		DOREE DUNCAN SEHGMANN, CATI LAPORTE, and STEPHAN VLADIMIR BUGAJ, "The message is the medium", 1997, 12 pages	
		JUHA TAKKINEN and NAHID SHAHMEHRI, "CAFE: A Conceptual Model for Managing Information in Electronic Mail", 1998, 10 pages	
		JACOB PALME, JUSSI KARLGREN, and DANIEL PARGRAN, "Issues whe designing filters in messaging systems", 1996, 7 pages	

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08B (10-01)

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 4 of 5

Compleat if Known

Application Number	10/611,491
Filing Date	June 30, 2003
First Named Inventor	Eric J. Horvitz
Group Art Unit	Unknown
Examiner Name	Unknown

Attorney Docket Number MS303531.2 / MSFTP453USA

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		CHAOMEI CHEN, "Visualising semantic spaces and author co-citation networks in digital libraries", 1999, 20 pages	
		International Search Report dated August 20, 2002, for International Application Serial No. PCT/US01/08711	
		International Search Report dated Septmeber 2, 2002, for International Application Serial No. PCT/US01/08710	
		ROBERT M. LOSEE JR., "Minimizing information overload: the ranking of electronic messages", 1989, 11 pages	
		PAUL E. BACLACE, "Competitive Agents for Information Filtering", December 1999, 1 page	
		MAKOTO IWAYAMA and TAKENOBU TOKUNAGA, "Hierarchical Bayesian Clustering for Automatic Text Classification", 1995, 6 pages	
		WILLIAM W. COHEN, "Learning Rules that Classify E-Mail", 1996, 11 pages	
		GARY BOONE, "Concept Features in Re: Agent, an Intelligent Email Agent, 1998, 8 pages	
		MARTI A. HEARST and HAYM HIRSH, "Machine Learning in Information Access Papers from the 1996 AAAI Spring Symposium", 1996, 3 pages	
		JONATHAN ISAAC HELFMAN and CHARLES LEE ISBELL, "Ishmail: Immediaite Identification of Important Information", 8 pages	
		ERIC HORVITZ, CARL KADIE, TIM PAEK and DAVID HOVEL, "Models of Attention in Computing and Communication: From Principles to Applications", Communications of the ACM 46(3): 52-59, March 2003	

Examiner Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

